

APPENDIX “A”



**UNITED STATES DEPARTMENT OF COMMERCE
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MARCH 23, 2001

PTAS



101581449A

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3000 K STREET, N.W., SUITE 500
WASHINGTON, D.C. 20007-5109

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NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

STOKES, EDWARD BRITTAIN

DOC DATE: 11/29/2000

ASSIGNOR:

MCNULTY, THOMAS FRANCIS

DOC DATE: 11/29/2000

ASSIGNOR:

DOXSEE, DANIEL DARCY

DOC DATE: 11/21/2000

ASSIGNOR:

SRIVASTAVA, ALOK MANI

DOC DATE: 11/29/2000

ASSIGNOR:

LEVINSON, LIONEL MONTY

DOC DATE: 12/03/2000

ASSIGNOR:

DUGGAL, ANIL RAJ

DOC DATE: 12/14/2000

ASSIGNEE:

GENERAL ELECTRIC COMPANY
P.O. BOX 8
SCHENECTADY, NEW YORK 12301

011416/0239 PAGE 2

SERIAL NUMBER: 09642655
PATENT NUMBER:

FILING DATE: 08/22/2000
ISSUE DATE:

PAULA MCCRAY, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

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REC

01-16-2001

HEET

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

MRP 1-9-01



To the Director of the United States Patent

101581449

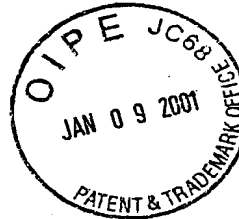
Attached original documents or copies thereof.

1. Name of conveying party(ies):

Edward Brittain STOKES (11/29/00)
 Thomas Francis MCNULTY (11/29/00)
 Daniel Darcy DOXSEE (11/21/00)
 Alok Mani SRIVASTAVA (11/29/00)
 Lionel Monty LEVINSON (12/3/00)
 Anil Raj DUGGAL (12/14/00)

2. Name and address of receiving party(ies):

GENERAL ELECTRIC COMPANY
 P.O. Box 8
 Schenectady, New York 12301



Additional conveying party(ies) attached? NO

3. Nature of conveyance:

ASSIGNMENT

Execution Date:

Same as above

Additional name(s) & address(es) attached? NO

4. Application number(s) or patent number(s):

If this is being filed together with a new application, the execution date of the application is:

A. Patent Application Number(s):

09/642,655

B. Patent Number(s):

Additional numbers attached? NO

5. Name and address of party to whom correspondence concerning document should be mailed:

Michael D. Kaminski
 FOLEY & LARDNER
 Washington Harbour
 3000 K Street, N.W., Suite 500
 Washington, D.C. 20007-5109

6. Total number of applications/patents involved: 1

7. Total fee (37 C.F.R. § 3.41): \$40.00

☒ Check Enclosed

Charge to deposit account

8. Deposit account number: 19-0741

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9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. The Commissioner is hereby authorized to charge any additional recordation fees which may be required in this matter to the above-identified deposit account.

Michael D. Kaminski

January 9, 2001

Name of person signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: 5

01/16/2001 DNGUYEN 00000222 09642655

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ASSIGNMENT

GE RD 27,929

Attorney Docket No. 040849/0143

In consideration of One Dollar and Other good and valuable consideration, of which I acknowledge receipt, I (we)

Edward Brittain STOKES	of	2631 Rosendale Road, Niskayuna, NY 12309
Thomas Francis MCNULTY	of	4C Sorrel Ct., Ballston Lake, NY 12019
Daniel Darcy DOXSEE	of	8512 Greenbrier Court, Sagamore Hills, OH 44067
Alok Mani SRIVASTAVA	of	1378 Philomena Road, Niskayuna, NY 12309
Lionel Monty LEVINSON	of	1 Linda Lane, Schenectady, NY 12309
Anil Raj DUGGAL	of	2322 Algonquin Road, Niskayuna, NY 12309
	of	
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sell and assign to General Electric Company, a New York Corporation, its successors and assigns the entire right, title and interest in and to the improvements in:

SOLID STATE ILLUMINATION SYSTEM CONTAINING A LIGHT EMITTING DIODE, A LIGHT SCATTERING MATERIAL AND A LUMINESCENT MATERIAL

invented by me (us), as described in the application for United States patent

- ☐ executed concurrently herewith, or
☒ U.S. Serial No.:09/642,655, filed August 22, 2000.

and any and all applications for patent and patents therefor in any and all countries, including all divisions, reissues, continuations and extensions thereof, and all rights of priority resulting from the filing of said United States application, and authorize and request any official whose duty it is to issue patents, to issue any patents on said improvements or resulting therefrom to said General Electric Company, or its successors or assigns and agree that on request and without further consideration, but at the expense of said Company, I will communicate to said Company or its representatives or nominees any facts known to me respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid said Company, its successors, assigns, and nominees to obtain and enforce proper patent protection for said improvements in all countries.

29 November 2000
Date

Edward Brittain STOKES

State of New York) SS:

County of Schenectady)

This 29th day of November, 2000, before me personally came the above-named Edward Brittain Stokes to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

JEAN G. MYERS
Notary Public in the State of New York
Qualified in Schenectady Co.
No. 01MY6068350
My Commission Expires Nov. 11, 2004

Jean G. Myers
(Notary Public)

11/29/00
Date

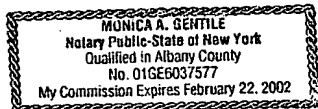
Thomas Francis McNulty
Thomas Francis MCNULTY

State of New York) SS:

County of Schenectady)

This 29th day of November, 2000, before me personally came the above-named Thomas Francis McNulty to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal



Monica A. Gentile
(Notary Public)

Nov. 21, 2000
Date

Daniel Darcy Doxsee
Daniel Darcy DOXSEE

State of OHIO) SS:

County of CUYAHOGA)

This 21st day of November, 2000, before me personally came the above-named Daniel Darcy Doxsee to me personally known as the individual who executed the foregoing assignment who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

Rosetta Saraniti
(Notary Public)

ROSETTA SARANITI
Notary Public, State of Ohio
Recorded in Cuyahoga County
My commission expires April 22, 2002

11/29/2000

Date

Alok Mani Srivastava
Alok Mani SRIVASTAVA

State of New York) SS:

County of Schenectady)

This 29th day of November, 2000, before me personally came the above-named Alok Mani Srivastava to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

JEAN G. MYERS
Notary Public in the State of New York
Qualified in Schenectady Co.
No. 01MY508850
My Commission Expires Nov. 11, 2002

Jean G Myers
(Notary Public)

3 December 2000
Date

Lionel Monty Levinson
Lionel Monty LEVINSON

State of New York) SS:

County of Schenectady)

This 2nd day of December, 2000, before me personally came the above-named Lionel Monty Levinson to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

JEAN G. MYERS
Notary Public in the State of New York
Qualified in Schenectady Co.
No. 01MY508850
My Commission Expires Nov. 11, 2002

Jean G Myers
(Notary Public)

December 14, 2000

Date

Anil B. Duggal

Anil Raj DUGGAL

State of New York SS:

County of Schenectady

This 14th day of December, 2000, before me personally came the above-named _____ to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

SUSAN M. ZAMPIER
Notary Public in the State of New York
Qualified in Saratoga County
No. 01ZA5069047
My Commission Expires Nov. 11, 2002

Susan M. Zamper

(Notary Public)